

3 FAH-1 H-2350 PERSONNEL RECORDS

(TL:POH-092; 06-06-2003)
(Office of Origin DIR)

3 FAH-1 H-2351 CIVIL SERVICE EMPLOYEES

3 FAH-1 H-2351.1 Right (Permanent) Side of the Official Personnel Folder

(TL:POH-092; 06-06-2003)
(State Only)
(Applies to Civil Service Employees)

The following documents are filed on the right (permanent) side of the Civil Service official personnel folder (OPF):

- (1) Prior Federal Civilian Service or Transcript(s) thereof;
- (2) Form SF-75, *Request for Preliminary Employment Data*;
- (3) Form SF-171 or Form OF-612, *Personnel Qualifications Statement*;
- (4) Form SF-144, Statement of Prior Federal Civilian and Military Service;
- (5) Form DD-214, Report of Separation from the Armed Forces of the UNITED STATES; also Veteran's Preference Claims;
- (6) Form DSP-80 (Discontinued), Statement Regarding Actions on Behalf of Foreign Principals;
- (7) OPM—Notice of Rating, Notice of Results, approval of supergrade positions, etc. A Notice of Rating may be recorded on the Form SF-171 or Form OF-612 submitted in connection with an OPM Examination. Examination and/or answer sheets **are not filed in the OPF** (OPM Form 4008.C-*Discontinued*);
- (8) Request for Outside Hire Approval memorandum (if any, behind Appointment Form SF-50 *Notification of Personnel Action*));

- (9) Form DS-1507, *Notification of Security Clearance*; also clearances for 180 days, and those for non-sensitive positions (Form OF-10 *Discontinued*);
- (10) Seasonal Employment Statement of Understanding and Agreement;
- (11) Form SF-2817, *Life Insurance Election*;
- (12) Form SF-2823, *Designation of Beneficiary* (FEGLI);
- (13) Pre-Appointment Certification Statement for Selective Service Registration;
- (14) Form SF-61, *Appointment Affidavit*;
- (15) Form SF-2809, *Health Benefits Registration*;
- (16) Form SF-2810, *Notice of Change in Health Benefits Enrollment*;
- (17) Form SF-50-B, *Notification of Personnel Action*;
- (18) Federal Pay Raise Notice (ADP Printout);
- (20) Form SF-182, *Request, Authorization, Agreement and Certification of Training* **(no longer filed in OPF as of September 1998)**;
- (21) Continued Service Agreement;
- (22) Mustang Agreement;
- (23) Form DS-755, *Request for Training* **(no longer filed in OPF as of September 1998)**;
- (24) OPM Form 1528, *Notification of Earnings for Medicare Eligibility* (Discontinued);
- (25) Form SF-2815, *Employee Service Statement* (Discontinued);
- (26) OPM Form 1514, *Military Deposit Worksheet*;
- (27) TSP-1, *Thrift Savings Plan* ;
- (28) OPM Form 1555, *FERS* (Discontinued);
- (29) Form SF-1150, *Record of Leave Data (employee departing from the Agency)*; and
- (30) Form SF-312, *Classified Information Nondisclosure Agreement*.

3 FAH-1 H-2351.2 Left (Temporary) Side of the Official Personnel Folder

(TL:POH-092; 06-06-2003)

(State Only)

(Applies to Civil Service Employees)

The following documents are filed on the left (temporary) side of the Civil Service official personnel folder:

- (1) Form DS-1031-A, Biographic Data Sheet;
- (2) Form SF-52, Request for Personnel Action (without supporting documents);
- (3) Form OF-8, Position Description (most current);
- (4) Department of State Conditions of Employment;
- (5) Department of State—Status of FEGLI and Health Insurance;
- (6) Reprimand or Warning letter(s);
- (7) Form OPM-1495 (Discontinued), Financial Eligibility Statement for Student and Summer Aid Programs;
- (8) Offer of Employment;
- (9) Conflict of Interest Statement (memorandum from L);
- (10) Form SF-1152, Designation of Beneficiary, Unpaid Compensation of Deceased Civilian Employee;
- (11) Travel Agreement for New Employee;
- (12) TMFOUR—Travel Message;
- (13) Retirement Agreement;
- (14) Justice Department Form I-9, Employment Eligibility Verification; and
- (15) Form SF-2821, Agency Certification of Insurance Status.

3 FAH-1 H-2351.3 Right (Permanent) Side of the Employee Performance Folder

(TL:POH-092; 06-06-2003)
(State Only)
(Applies to Civil Service Employees)

The following documents are filed on the right (permanent) side of the Civil Service employee performance folder:

- (1) Form DS-1966 or Form DS-1815, Employee Performance Plan, Progress Review, and Appraisal Report
- (2) Form DS-1816 (*Discontinued*), Merit Pay Employee Performance Appraisal;
- (3) Form DS-1786c (*Discontinued*), Upward Mobility Progress Evaluation Report;
- (4) Form DS-1765, Warning of Unsatisfactory Performance;
- (5) Documentation submitted by the employee to clarify or refute statements in the Performance Appraisal Report; and
- (6) Inspectors Evaluation Reports (IER).

3 FAH-1 H-2351.4 Left (Temporary) Side of the Employee Performance Folder

(TL:POH-57; 12-15-1999)
(State Only)
(Applies to Civil Service Employees)

The following documents are filed on the left (temporary) side of the Civil Service employee performance folder:

- (1) Recommendations for promotion;
- (2) Documentation and justification for performance and honor awards, e.g., QSI, cash awards based on performance;
- (3) Form DS-1764, *Evaluation of Probationary Employee*;
- (4) Form DS-1798, *Certification of Completion of Probationary Period* for supervisors, as well as supporting documentation;
- (5) Letters of commendation or achievement which are performance based—may be from the Department of State or other Federal Government officials, Congress, or private citizens, etc.; and

- (6) Written recommendations for training.

3 FAH-1 H-2352 EXPERTS AND CONSULTANTS

3 FAH-1 H-2352.1 Right (Permanent) Side

(TL:POH-092; 06-06-2003)

(State Only)

(Applies to Experts and Consultants)

The following documents are filed on the right (permanent) side of the experts and consultants official personnel folder:

- (1) Prior Federal Civilian Service or Transcript(s) thereof;
- (2) Form SF-171 or Form OF-612, *Personnel Qualifications Statement*;
- (3) Form SF-86, *Security Investigation Data for Sensitive Position* (not filed if revisions date after 8/64);
- (4) Official justification showing need for and qualifications of consultants/expert (file behind Appointment Form SF-50);
- (5) Memo containing necessary approval for appointment;
- (6) Form JF-1 (*Discontinued*), *Conflict of Interest Statement*;
- (7) Form DS-1507, *DS Clearance*;
- (8) Consultant Certificate;
- (9) Form SF-61, Appointment Affidavit;
- (10) Form SF-50-B, Notification of Personnel Action with position description attached; and
- (11) Federal pay raise notification (ADP printout).

3 FAH-1 H-2352.2 Left (Temporary) Side

(TL:POH-57; 12-15-1999)

(State Only)

(Applies to Experts and Consultants)

The following documents are filed on the left (temporary) side of the experts and consultants official personnel folder:

- (1) Form DS-1031-A, Biographic Data Sheet;
- (2) Request for Personnel Action (Form SF-52) (without supporting documents); and
- (3) Form SF-1152, Designation of Beneficiary, Unpaid Compensation of Deceased Civilian Employee.

3 FAH-1 H-2353 FOREIGN SERVICE EMPLOYEES

3 FAH-1 H-2353.1 Right (Permanent) Side of the Official Personnel Folder (Administrative)

(TL:POH-092; 06-06-2003)

(State Only)

(Applies to Foreign Service Employees)

The following documents are filed on the right (permanent) side of the Foreign Service official personnel folder (administrative):

- (1) Prior Federal Civilian Service or Transcript(s) thereof;
- (2) Form SF-75, Request for Preliminary Employment Data;
- (3) Form DSP-34 (Discontinued), Supplement to Personnel Qualifications Statement;
- (4) Form SF-171 or Form OF-612, Personnel Qualifications Statement;
- (5) Form SF-144, Statement of Prior Federal Civilian and Military Service;
- (6) Form DD-214, Report of Separation from the Armed Forces of the United States; also Veteran's Preference Claims;
- (7) Request for Outside Hire Approval Memorandum (if any, behind Appointment Form SF-50);
- (8) OPM—Notice of Ratings, Notice of Results, approval of super grade positions, etc. A Notice of Rating may be recorded on the Form SF-171 or Form OF-612 submitted in connection with OPM examination

- (Examinations and answer sheets are not filed in the OPF);
- (9) Form DS-1507, Notification of Security Clearance;
 - (10) Form SF-2817, Life Insurance Election;
 - (11) Form SF-2823, Designation of Beneficiary (FEGLI);
 - (12) Continued Service Agreement;
 - (13) Foreign Service Assignments and Policy Commitments;
 - (14) Statement of Understanding of Terms of Employment;
 - (15) Form SF-61, Appointment Affidavit;
 - (16) Form SF-2809, Health Benefits;
 - (17) Form SF-2810, Notice of Change in Health Benefits Enrollment;
 - (18) Form SF-52, Request for Personnel Action (without supporting documents attached);
 - (19) Form SF-50, Notification of Personnel Action;
 - (20) Federal Pay Raise Notice (ADP Printout);
 - (21) Form SF-1150, Record of Leave Data (employee departing from the agency);
 - (223) OPM Form 1528, Notification of Earnings for Medicare Eligibility (Discontinued);
 - (23) Form OF-109, Separation Statement;
 - (24) Form SF-2815, Retirement Insurance (Discontinued);
 - (25) OPM Form 1514, Military Deposit Work Sheet;
 - (26) Waiver of Salary Payment;
 - (27) TMFOUR—Travel Message;
 - (28) Pre-Appointment Certification Statement for Selective Service Registration;
 - (29) Federal Retirement Reconsideration Form (Decision to Maintain Current Retirement Coverage);

- (30) Senior Foreign Service Election;
- (31) Mustang Agreement;
- (32) TSP-1, Thrift Savings Plan Election;
- (33) Security Acknowledgment;
- (34) Certification of Requisite Experience;
- (35) Ambassadors' Letters of Resignation;
- (36) Form DS-144 (Previously OF-144), Temporary Duty (TDY) Official Travel Authorization.;
- (37) DS-755, Request for Training (as of October 1, 1997) **(no longer filed in OPF as of September 1998)**;
- (38) Form SF-312, Classified Information Nondisclosure Agreement;
- (39) Form SF-182, Request, Authorization, Agreement and Certification of Training **(no longer filed in OPF as of September 1998)**; and
- (40) Justice Department Form I-9, Employment Eligibility Verification

3 FAH-1 H-2353.2 Left (Temporary) Side of Official Personnel Folder (Administrative)

(TL:POH-57; 12-15-1999)

(State Only)

(Applies to Foreign Service Employees)

The following documents are filed on the left (temporary) side of the Foreign Service *official personnel folder (administrative)*:

- (1) Form DS-1031-A, Biographic Data Sheet;
- (2) Department of State—Status of FEGLI and Health Insurance;
- (3) Form SF-2303 (Discontinued), Application to Make Deposit or Redeposit;
- (4) Form OF-126, Residence and Dependency Report;
- (5) Offer of Employment;
- (6) Notification of Death/Travel;

- (7) Form SF-1152, Designation of Beneficiary—Unpaid Compensation of Deceased Civilian Employee;
- (8) Conflict of Interest Statement (Memorandum from L);
- (9) Justice Department Form I-9, Employment Eligibility Verification;
- (10) Form SF-2821, Agency Certification Statement for Selective Service Registration;
- (11) Confirmation of Appointment (Letter);
- (12) Retirement Agreement;
- (13) Confirmation of Approval of Extension of Secondment Letter; and
- (14) Interim Civil Service Retirement Election Letter.

3 FAH-1 H-2353.3 Right Side of the Foreign Service Performance Folder No. 1

(TL:POH-57; 12-15-1999)

(State Only)

(Applies to Foreign Service Employees)

- a. The form numbers cited in this section are those in current use, but other numbers may appear for equivalent forms in preceding or subsequent years.
- b. The following documents are filed on the right side of the Foreign Service performance folder number 1:
 - (1) Form DS-1829, Foreign Service Employee Evaluation Report;
 - (2) Form DS-917, Inspector's Evaluation Report;
 - (3) Statements in lieu of regular performance;
 - (4) Employee's rebuttal, if any, to performance report;
 - (5) Reports on full-time training not covered by regular performance reports, e.g., long-term language university training, War College or other military institution assignments, senior or special research seminars, etc. These may be submitted on Form DS-1106-A, University Training Report, or in letter or memorandum form;
 - (6) Special training evaluation reports on such functions as

communications and records, consulting operations, etc.;

- (7) Memoranda or statements authorizing the removal of specific right-side documents and filed in lieu thereof;
- (8) Form DS-1822, Detail Evaluators Report;
- (9) Form DS-1791 (Discontinued), Supplementary Performance Report Form;
- (10) Memoranda of Performance prepared in lieu of Form DS-1829; and
- (11) Report of Training—four (4) weeks or more.

3 FAH-1 H-2353.4 Left Side of the Foreign Service Performance Folder No. 1

(TL:POH-57; 12-15-1999)

(State Only)

(Applies to Foreign Service Employees)

- a. The form numbers cited in this section are those in current use, but other numbers may appear for equivalent forms in preceding or subsequent years.
- b. The following documents are filed on the left side of the Foreign Service performance folder number 1:
 - (1) Official commendations from State personnel, other Federal agencies, members of Congress, White House, international organizations, etc.;
 - (2) Official reprimands and warnings, (excluding security violation report forms and letters of charges);
 - (3) Approved nominations for honor awards, quality step increases, and cash awards for employee suggestions adopted;
 - (4) Memoranda or letters to employee commending or criticizing the employee's ratings on subordinates or for delinquent reports;
 - (5) Training and/or certificates relating to short-term on-the-job or extracurricular training, including orientation courses, which are not covered by evaluation reports filed on right side of folder;
 - (6) Form DS-755, Request for Training form filed in the administrative

folder as of 10/1/97 **(no longer filed in OPF as of September 1998)**;

- (7) Other documents specifically requested by employee to be put in the folder and approved by the Office of Performance Evaluation (PER/PE) for inclusion, including performance evaluations from other personnel systems pursuant to 3 FAH-1 H-2812.2-2;
- (8) All unofficial commendations; and
- (9) Form DS-1354, *Language Proficiency Report*.

3 FAH-1 H-2353.5 Foreign Service Performance Folder No. 2

(TL:POH-57; 12-15-1999)

(State Only)

(Applies to Foreign Service Employees)

- a. Documents listed in 3 FAH-1 H-2353.3, paragraph b, which were created for service prior to 1980 are filed on the right side of Foreign Service performance folder number 2.
- b. Documents listed in 3 FAH-1 H-2353.4, paragraph b, which were created for service prior to 1980 are filed on the left side of Foreign Service performance folder number 2.

3 FAH-1 H-2354 PART-TIME INTERMITTENT TEMPORARY (PIT) AND U.S. AMERICAN FAMILY MEMBER (AFM) FOREIGN SERVICE OFFICIAL PERSONNEL FOLDER

3 FAH-1 H-2354.1 Right Side of the PIT or U.S. AFM Foreign Service Official Personnel Folder

(TL:POH-092; 06-06-2003)

(State Only)

(Applies to PIT and U.S. AFM Employees)

The following documents are filed on the right side of the PIT or U.S. AFM Foreign Service official personnel folder:

- (1) Prior Federal Civilian Service or Transcripts thereof;
- (2) Form SF-171 or Form OF-612, *Personnel Qualifications Statement*;
- (3) Form SF-144, *Statement of Prior Federal Civilian & Military Service*;
- (4) Form DS-1507, Notification of Security Clearance;
- (5) Form SF-61, Appointment Affidavit;
- (6) Telegraphic Request for Personnel Action;
- (8) Form SF-50, Notification of Personnel Action;
- (9) Federal Pay Raise Notice (ADP Printout);
- (10) Form SF-1150, Record of Leave Data (employee departing from agency); and
- (11) Pre-Appointment Certification Statement for Selective Service Registration.

3 FAH-1 H-2354.2 Left Side of the PIT/AFM Foreign Service Official Personnel Folder

(TL:POH-57; 12-15-1999)

(State Only)

(Applies to PIT and U.S. AFM Employees)

The following documents filed on the left side of the PIT or U.S. AFM Foreign Service official personnel folder:

- (1) Performance documents (filed under cover sheet);
- (2) Form JF-57, *Foreign Affairs Agencies Performance Appraisal Report for Overseas Temporary Resident and American Family Members Employees*;
- (3) Form DS-755, *Request for Training and/or certificates relating to on-the-job or extracurricular training* (**no longer filed in OPF as of September 1998**);
- (4) Official reprimands and warnings (excluding security violation report forms and letters of charges);
- (5) Memoranda or letters to employees commending work performance;

- (6) Official commendations from State personnel, other Federal Agencies, etc.;
- (7) Other documents specifically requested by employee and approved by the bureau to be filed in the folder;
- (8) Form SF-1152, Designation of Beneficiary, Unpaid compensation of Deceased Civilian Employee;
- (9) Justice Department Form I-9, Employment Eligibility Verification;
- (10) Statement of Understanding (Temporary Appointment); and
- (11) Voluntary Separation Incentive Payment Statement.

3 FAH-1 H-2355 THROUGH H-2359 UNASSIGNED